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Date: August 5, 2003



John J. Pizzi

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|-----------------------------|---|-------------------------|
| In re: Application of: |) | |
| RONALD M. PENICH et al. |) | Group Art Unit |
| |) | |
| Serial No. (to be assigned) |) | |
| |) | Examiner To be assigned |
| Filed: August 5, 2003 |) | |
| |) | |
| For: NANOLAYERED COATED |) | Attorney Docket K-1782D |
| CUTTING TOOL AND METHOD |) | |
| FOR MAKING THE SAME |) | |

August 5, 2003

Mail Stop Patent Application
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicant(s) submit herewith a PTO-1449 listing patents, publications or other information, of which they are aware and that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose. The Information Disclosure Statement submitted herewith is being filed:

- ☒ under 37 CFR 1.97(b); within three (3) months of the filing of a national application; within three (3) months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing date of a first Office Action on the merits; or before the mailing of a first office action after the filing of a request for continued examination under § 1.114, whichever event occurs last.
- ☐ under 37 CFR 1.97(c); after three (3) months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either a Final Action under 37 CFR 1.113, or a Notice of Allowance under 37 CFR 1.311, whichever occurs first. Also submitted herewith is:

- ☐ a statement as specified in 37 CFR 1.97(e); or
- ☐ the fee of \$180.00 set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c) to be paid as provided below.
- ☐ under 37 CFR 1.97(d); after a Final Action under Section 1.113, or a Notice of Allowance under Section 1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is a statement as specified in 37 CFR 1.97(e) and the fee of \$180.00 set forth in 37 CFR 1.17(p) to be paid as provided below.

STATEMENT UNDER 37 CFR 1.97(e)

- ☐ This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.
- ☐ Statement Under 37 CFR 1.97(e)(1) - Each item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the information disclosure statement.
- ☐ Statement Under 37 CFR 1.97(e)(2) - No item of information contained in the accompanying information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

PRIOR APPLICATIONS

- ☒ This application relies, under 35 U.S.C. 120, on the earlier filing date of prior application(s):

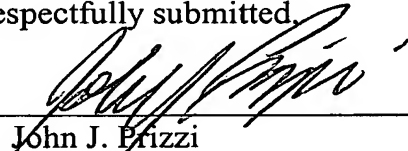
Serial No. 10/097,487, filed on March 14, 2002.

Those references listed on the attached form and not submitted herewith were submitted to, and/or cited by, the Office in the prior application(s) identified above and therefore, are not required to be provided in this application.

FEEs

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge any fees that may be required by this submission and to credit Deposit Account No. 11-0508 any overpayment. A duplicate copy of this sheet is enclosed.

Respectfully submitted,



John J. Prizzi
Attorney for Applicant(s)
Reg. No. 29,970
Date: August 5, 2003

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| FORM PTO-1449 (Modified) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. K-1782 D | | SERIAL NO. (to be assigned) | | | | | | | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98(b)) | | | | APPLICANT RONALD M. PENICH et al. | | | | | | | | | | |
| | | | | FILING DATE August 5, 2003 | | GROUP (to be assigned) | | | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | | | | | | |
| EXAMINER INITIAL | | PATENT NUMBER | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | | |
| | | 4 | 5 | 4 | 0 | 5 | 9 | 6 | 9/85 | Nimmagadda | 427 | 37 | | |
| | | 4 | 5 | 5 | 4 | 2 | 0 | 1 | 11/85 | Andreev et al. | 428 | 215 | | |
| | | 4 | 5 | 9 | 9 | 2 | 8 | 1 | 7/86 | Schintlmeister et al. | 428 | 699 | | |
| | | 4 | 6 | 4 | 3 | 9 | 5 | 1 | 2/87 | Keem et al. | 428 | 469 | | |
| | | 4 | 6 | 8 | 6 | 1 | 5 | 6 | 8/87 | Baldoni II et al. | 428 | 698 | | |
| | | 4 | 7 | 1 | 4 | 6 | 6 | 0 | 12/87 | Gates, Jr. | 428 | 698 | | |
| | | 4 | 7 | 5 | 3 | 8 | 5 | 4 | 6/88 | Gavrilov et al. | 428 | 698 | | |
| | | 4 | 7 | 7 | 6 | 8 | 6 | 3 | 10/88 | Van den Berg et al. | 51 | 295 | | |
| | | 4 | 8 | 3 | 5 | 0 | 6 | 2 | 5/89 | Holleck | 428 | 469 | | |
| | | 4 | 8 | 4 | 2 | 7 | 1 | 0 | 6/89 | Freller et al. | 204 | 192.38 | | |
| | | 4 | 8 | 9 | 5 | 7 | 7 | 0 | 1/90 | Schintlmeister et al. | 428 | 552 | | |
| FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | | | | | | | | |
| | | DOCUMENT NUMBER | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | | |
| | | 0 | 5 | 9 | 2 | 9 | 8 | 6 | 7/98 | Europe | | | YES | NO |
| | | 0 | 7 | 0 | 9 | 4 | 8 | 3 | 5/96 | Europe | | | X | |
| | | 9 | 8 | 4 | 4 | 1 | 6 | 3 | 10/98 | PCT | | | X | |
| | | 3 | 5 | 3 | 2 | 7 | 3 | 3 | 6/86 | Germany | | | | X |
| | | 0 | 4 | 4 | 6 | 3 | 7 | 5 | 11/85 | Europe | | | X | |
| OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | | | | | | | |
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| EXAMINER | | | | | | | | | DATE CONSIDERED | | | | | |
| EXAMINER: Initial citation considered. Draw in through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | | | | | | | |

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| FORM PTO-1449 (Modified) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | | | ATTY. DOCKET NO. K-1782 D | | | SERIAL NO. (to be assigned) | | | | | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98(b)) | | | | | | APPLICANT RONALD M. PENICH et al. | | | | | | | | | |
| | | | | | | FILING DATE August 5, 2003 | | | GROUP (to be assigned) | | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | | | | | | | |
| EXAMINER INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | | |
| | | 4 | 9 | 8 | 4 | 9 | 4 | 0 | 1/91 | Bryant et al. | 407 | 119 | | | |
| | | 5 | 0 | 7 | 1 | 6 | 9 | 3 | 12/91 | Sue et al. | 428 | 212 | | | |
| | | 5 | 0 | 7 | 5 | 1 | 8 | 1 | 12/91 | Quinto et al. | 428 | 698 | | | |
| | | 5 | 2 | 0 | 8 | 1 | 0 | 2 | 5/93 | Schulz et al. | 428 | 336 | | | |
| | | 5 | 2 | 5 | 2 | 3 | 6 | 0 | 10/93 | Huttl et al. | 427 | 255.2 | | | |
| | | 5 | 2 | 6 | 6 | 3 | 8 | 9 | 11/93 | Omori et al. | 428 | 216 | | | |
| | | 5 | 3 | 2 | 8 | 8 | 7 | 5 | 7/94 | Euda et al. | 501 | 87 | | | |
| | | 5 | 3 | 3 | 0 | 8 | 5 | 3 | 7/94 | Hofmann et al. | 428 | 697 | | | |
| | | 5 | 3 | 6 | 8 | 9 | 3 | 9 | 11/94 | Kawamura et al. | 428 | 408 | | | |
| | | 5 | 4 | 7 | 8 | 6 | 3 | 4 | 12/95 | Setoyama et al. | 428 | 216 | | | |
| | | 5 | 5 | 0 | 3 | 9 | 1 | 2 | 4/96 | Setoyama et al. | 428 | 216 | | | |
| FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | | | | | | | | | |
| | | DOCUMENT NUMBER | | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | | |
| | | 0 | 7 | 0 | 1 | 9 | 8 | 2 | 3/96 | Europe | | | | YES | NO |
| | | 0 | 5 | 9 | 2 | 9 | 8 | 6 | 4/94 | Europe | | | | X | |
| | | | | | | | | | | | | | | | |
| OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | | | | | | | | |
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| EXAMINER | | | | | | | | | | DATE CONSIDERED | | | | | |
| EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | | | | | | | | |

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| FORM PTO-1449 (Modified) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | | ATTY. DOCKET NO. K-1782D | | | SERIAL NO. (to be assigned) | | | | | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98(b)) | | | | | APPLICANT RONALD M. PENICH et al. | | | | | | | | |
| | | | | | FILING DATE August 5, 2003 | | | GROUP (to be assigned) | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | | | | | |
| EXAMINER INITIAL | | PATENT NUMBER | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | | 5 | 5 | 4 | 9 | 9 | 7 | 5 | 8/96 | Schulz et al. | 428 | 553 | |
| | | 5 | 5 | 8 | 8 | 9 | 7 | 5 | 12/96 | Hammond et al. | 51 | 293 | |
| | | 5 | 6 | 5 | 6 | 3 | 8 | 3 | 8/97 | Tanaka et al. | 428 | 627 | |
| | | 5 | 6 | 7 | 9 | 4 | 4 | 8 | 10/97 | Kawata | 428 | 216 | |
| | | 5 | 7 | 0 | 0 | 5 | 5 | 1 | 12/97 | Kukino et al. | 428 | 212 | |
| | | 5 | 7 | 1 | 2 | 0 | 3 | 0 | 1/98 | Goto et al. | 428 | 332 | |
| | | 5 | 7 | 8 | 3 | 2 | 9 | 5 | 7/98 | Barnett et al. | 428 | 216 | |
| | | 5 | 8 | 3 | 3 | 0 | 2 | 1 | 11/98 | Mensa-Wilmot et al. | 175 | 433 | |
| | | 5 | 8 | 5 | 3 | 8 | 7 | 3 | 12/98 | Kukino et al. | 428 | 336 | |
| | | 5 | 8 | 8 | 2 | 7 | 7 | 7 | 3/99 | Kukino et al. | 428 | 216 | |
| | | 5 | 8 | 8 | 2 | 7 | 7 | 8 | 3/99 | Sugizaki et al. | 428 | 216 | |
| FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION | | | | | | | | | | | | | |
| | | DOCUMENT NUMBER | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | | | | | | | YES | NO |
| OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | | | | | | |
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| | | English abstract of JP 7018416 A2 to Atsuo | | | | | | | | | | | |
| | | English abstract of JP 052106 A2 to Shinichi | | | | | | | | | | | |
| EXAMINER | | | | | | | | | DATE CONSIDERED | | | | |
| EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | | | | | | | |

**FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE**
**INFORMATION DISCLOSURE STATEMENT
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

**ATTY. DOCKET NO.
K-1782D**
**SERIAL NO.
(to be assigned)**
**APPLICANT(S)
RONALD M. PENICH et al.**
**FILING DATE
August 5, 2003**
**GROUP
Art Unit (to be assigned)**
U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | | | | | | | DATE | NAME | CLAS S | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|----|-----------------|---|---|---|---|---|---|---------|----------------------|-----------|----------|-------------------------------|
| | AA | 5 | 9 | 7 | 8 | 2 | 0 | 7 | 11/1999 | Anderson et al. | 361 | 311 | |
| | AB | 6 | 1 | 1 | 1 | 6 | 9 | 7 | 08/2000 | Merrill et al. | 359 | 497 | |
| | AC | 6 | 3 | 0 | 6 | 2 | 6 | 6 | 10/2001 | Metin et al. | 204 | 192.12 | |
| | AD | 6 | 0 | 5 | 1 | 1 | 1 | 3 | 04/2000 | Moshlehi, Mehrdad M. | 204 | 192.12 | |
| | AE | 5 | 6 | 8 | 7 | 6 | 7 | 9 | 11/1997 | Mullin et al. | 123 | 41.79 | |
| | AF | 6 | 0 | 4 | 5 | 6 | 6 | 7 | 04/2000 | Moll, Eberhard | 204 | 192.38 | |
| | AG | 5 | 0 | 7 | 1 | 6 | 9 | 3 | 12/1991 | Sue et al. | 428 | 212 | |
| | AH | | | | | | | | | | | | |
| | AI | | | | | | | | | | | | |
| | AJ | | | | | | | | | | | | |
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FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | | | | | | | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

DATE CONSIDERED

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* English translation of the abstract